

# U.S. Environmental Protection Agency

## Comprehensive Administrative Review for Grants & Cooperative Agreements

### I. GENERAL INFORMATION

APPLICANT: \_\_\_\_\_ ASSISTANCE NO.: \_\_\_\_\_

TYPE OF APPLICANT: ☐ State ☐ Local ☐ Non-profit ☐ University/College ☐ Tribe ☐ Foreign ☐ Other \_\_\_\_\_

TYPE OF ACTION: ☐ New ☐ Continuation

TYPE OF Grant: ☐ Project ☐ Program ☐ Earmark ☐ Other

APPLICABLE REGULATIONS: ☐ [40 CFR §30](#) ☐ [40 CFR §31](#) ☐ [40 CFR §35](#), Subpart \_\_\_\_\_ ☐ [40 CFR §40](#)  
☐ [40 CFR §45](#) ☐ [40 CFR §46](#) ☐ [40 CFR §47](#) ☐ [40 CFR §49](#)

STATUTORY AUTHORITY: \_\_\_\_\_

DATE APPL. RECD: \_\_\_\_\_ ENTERED INTO W&A /IGMS: \_\_\_\_\_ FUNDING REC. RCVD: \_\_\_\_\_

### II. ELIGIBILITY AND PRE-AWARD CAPABILITIES REVIEW

	Yes	No	Comments
1. IS THE APPLICANT ELIGIBLE TO RECEIVE ASSISTANCE UNDER THIS STATUTE?	<input type="checkbox"/>	<input type="checkbox"/>	
2. HAS THE REGION/AA SHIP BEEN DELEGATED THE AUTHORITY TO APPROVE THIS AWARD?  ! ARE THERE ANY LIMITATIONS CONTAINED IN THE APPROVAL DELEGATION? ! IF SO, WERE THEY MET? YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	APPROVAL DELEGATION NUMBER: _____  APPROVAL OFFICIAL: G AA/RA G _____ DIVISION DIRECTOR G _____ BRANCH CHIEF G OTHER _____  LIMITATIONS CONTAINED IN THE DELEGATION OF AUTHORITY MUST BE SATISFIED PRIOR TO AWARD OF ASSISTANCE.
3. ARE THE APPLICANT/PRINCIPALS ON THE EXCLUDED PARTIES LIST SYSTEM? WEBSITE: <a href="http://WWW.EPLS.GOV">WWW.EPLS.GOV</a> DATE CHECKED: _____	<input type="checkbox"/>	<input type="checkbox"/>	
4. BASED ON A REVIEW OF THE WORK PLAN, DO THE ACTIVITIES APPEAR TO BE APPROPRIATE FOR AWARD OF ASSISTANCE RATHER THAN ACQUISITION?	<input type="checkbox"/>	<input type="checkbox"/>	THE ACTION MUST COMPLY WITH THE FEDERAL GRANT & COOPERATIVE AGREEMENT ACT AND EPA ORDER 5700.1

#### NON-PROFIT APPLICANTS

**G N/A**

	Yes	No	Comments
5. IS THE APPLICANT A NON-PROFIT ORGANIZATION WHICH DOES NOT LOBBY OR UTILIZE FEDERAL FUNDS FOR LOBBYING PURPOSES? [501(c), (c)(3) OR (c)(4) ORGANIZATION]	<input type="checkbox"/>	<input type="checkbox"/>	IF NO, THIS APPLICATION MAY NOT BE FUNDED BECAUSE AWARD OF ASSISTANCE IS PROHIBITED TO NON-PROFIT ORGANIZATIONS WHICH LOBBY OR UTILIZE FEDERAL FUNDS TO LOBBY.
6. WAS THE APPLICANT 501(c) STATUS VERIFIED? 9 LETTER ATTACHED 9 HQ CUMULATIVE LIST OF ORGANIZATIONS 9 IRS WEBSITE: <a href="http://WWW.IRS.GOV/CHARITIES">WWW.IRS.GOV/CHARITIES</a>	<input type="checkbox"/>	<input type="checkbox"/>	REFERENCE: DESKTOP RESOURCE FOR NON-PROFITS <a href="http://WWW.EPA.GOV/OGD/RECIPIENT/INTRO.HTM">HTTP://WWW.EPA.GOV/OGD/RECIPIENT/INTRO.HTM</a>
7. DOES THE APPLICATION REQUEST GREATER THAN \$200K IN FEDERAL FUNDING?  (IF YES, CHECK THE GRANTEE COMPLIANCE ASSISTANCE & RECIPIENT SUMMARY DATA & OBTAIN CERTIFICATION DATE. IF NO, THE EPA ADMINISTRATIVE CAPABILITY QUESTIONNAIRE MUST BE COMPLETED PRIOR TO AWARD.)	<input type="checkbox"/>	<input type="checkbox"/>	ONCE AN ADMINISTRATIVE CAPABILITY ASSESSMENT HAS BEEN COMPLETED AND THE ORGANIZATION HAS BEEN CERTIFIED, THE CERTIFICATION IS GOOD FOR 4 YEARS.  DATE OF CERTIFICATION: _____

NON-PROFIT APPLICANTS (CONT)	Yes	No	COMMENTS	G N/A
8. DOES THE GRANTEE COMPLIANCE ASSISTANCE & RECIPIENT SUMMARY DATABASE CONTAIN UNRESOLVED EVALUATION REPORTS FOR THIS APPLICANT?	G	G	IF YES, THIS APPLICATION MAY NOT BE FUNDED UNTIL REPORTS ARE CLOSED OR IF FINDINGS IN THE REPORTS ARE DETERMINED TO BE RELEVANT, THE APPLICANT IS ON TRACK TO COMPLETE THE CORRECTIVE ACTION IN ACCORDANCE WITH EPA ORDER 5700.8, ASSESSING CAPABILITIES OF NON-PROFIT APPLICANTS FOR MANAGING ASSISTANCE AWARDS AND THE PRE-AWARD GUIDANCE.	
9. DOES THE APPLICANT HAVE OVERDUE CLOSE-OUT ACTIONS?	G	G	IF YES, REVIEW THE APPLICANT'S RECORDS FOR OUTSTANDING CLOSE-OUTS AND DETERMINE WHETHER THE BACKLOGGED CLOSE-OUT(S) ARE REPRESENTATIVE OF A LACK OF ADMINISTRATIVE CAPABILITY IN ACCORDANCE WITH EPA ORDER 5700.8, ASSESSING CAPABILITIES OF NON-PROFIT APPLICANTS FOR MANAGING ASSISTANCE AWARDS AND THE PRE-AWARD GUIDANCE	
<b>III. ADMINISTRATIVE REVIEW</b>				
10. IS THE APPLICATION FOR FEDERAL ASSISTANCE & ASSURANCE (SF-424A & 424B) SIGNED BY THE AUTHORIZED CERTIFYING OFFICIAL?	G	G		
11. HAVE THE REQUIRED FORMS BEEN SIGNED AND SUBMITTED WITH THE APPLICATION?	G	G	PRE-AWARD COMPLIANCE (EPA FORM 4700-4) _____ ANTI-LOBBYING (\$.100K) _____  <b>(SUPERFUND ONLY)</b> PROCUREMENT SYSTEM CERTIFICATION, DRUG FREE WORKPLACE & DEBARMENT & SUSPENSION _____  DRINKING/CLEAN WATER SRF ATTORNEY GENERAL OPINION _____  ANNUAL CERTIFICATION PACKAGE (PART 30) _____	
12. HAS THE TIME FRAME EXPIRED FOR THE INTERGOVERNMENTAL REVIEW (EO 12372) & SECTION 204 DEMONSTRATION CITIES & METROPOLITAN DEVELOPMENT ACT (DCMDA)? NOTE: THIS REQUIREMENT DOES NOT APPLY TO TRIBAL GOVERNMENTS. IF THE TIMEFRAME HAS NOT EXPIRED, WHEN DOES IT EXPIRE? _____  ARE THERE ANY COMMENTS?      G YES G NO IF SO, WERE COMMENTS ADDRESSED      G YES G NO STATE NOT PARTICIPATING (DOCUMENTATION ON FILE)      G  COOPERATIVE AGREEMENT - WAITING PERIOD IS 30 DAYS PROJECT GRANTS - WAITING PERIOD IS 60 DAYS DCMDA - WAITING PERIOD IS 60 DAYS	G	G	THE FEDERAL REGISTER DATED THURSDAY, APRIL 29, 2004, ESTABLISHED A LIST WHICH IDENTIFIES 72 EPA FINANCIAL ASSISTANCE PROGRAMS AND DIRECT DEVELOPMENT ACTIVITIES WHICH STATES MAY SELECT FOR INTERGOVERNMENTAL REVIEW. IN ADDITION, SECTION 204 OF THE DCMDA REQUIRES APPLICANTS FOR PROPOSED PROJECTS IN METROPOLITAN AREAS (EXCEPT RESEARCH, TRAINING AND DEVELOPMENT PROJECTS) TO GIVE AREA-WIDE PLANNING AGENCIES 60 DAYS TO REVIEW AND COMMENT ON A PROPOSED APPLICATION. FOR ADDITIONAL INFORMATION CONSULT THE ASSISTANCE ADMINISTRATION MANUAL, PART 1 GENERAL, SECTION 2, INTERGOVERNMENTAL REVIEW POLICY.	
13. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	G	G	IF YES, CONTACT THE APPLICANT AND OBTAIN ADDITIONAL INFORMATION.	
14. DOES THE PROPOSED PROJECT PERIOD START PRIOR TO THE ANTICIPATED DATE OF AWARD?   IF YES, ARE THE PRE-AWARD COSTS APPROVABLE?	G	G	40 CFR PART 30 (IF 90 CALENDAR DAYS OR LESS PRIOR TO AWARD – OK). IF MORE THAN 90 DAYS, APPROVAL FROM EPA AWARD OFFICIAL IS REQUIRED  40 CFR PART 31 (MUST BE APPROVED BY AWARD OFFICIAL)  40 CFR PART 35, SUBPART A&B (CONTINUING ENVIRONMENTAL PROGRAM GRANTS): APPLICATION MUST HAVE BEEN RECEIVED PRIOR TO THE EXPIRATION OF THE PREVIOUS BUDGET PERIOD (DRAFT IS ACCEPTABLE). IF NOT, DEVIATION IS NEEDED.	
15. IS THE PROPOSED PROJECT PERIOD WITHIN THE STATUTORY/REGULATORY/POLICY TIME CONSTRAINT REQUIREMENTS?  PROJECT PERIOD END PROPOSED DATE: _____  TOTAL PROJECT PERIOD (YEARS): _____	G	G	CHECK CFDA, GRANT REGULATIONS, COMPETITIVE ANNOUNCEMENT FOR POSSIBLE LIMITATIONS ON THE LENGTH OF THE BUDGET & PROJECT PERIODS.  THE PROJECT/BUDGET PERIOD SHOULD NOT EXCEED THE BUDGET AND PROJECT PERIOD LIMITATIONS IMPOSED BY OCFO 91-11.	

III. ADMINISTRATIVE REVIEW (CONT)	Yes	No	COMMENTS
<p>16. DOES THE GRANT PROGRAM HAVE ADDITIONAL FUNDING LIMITATIONS/REQUIREMENTS WHICH MUST BE SATISFIED PRIOR TO AWARD?</p> <p>IF YOU ARE AWARDING A GRANT FOR THE APPLICABLE PROGRAMS, PLEASE COMPLETE AND ATTACH THE ADDITIONAL REQUIREMENT FORM TO THIS REVIEW SHEET.</p>	G	G	<p>APPLICABLE PROGRAMS:</p> <p>AIR POLLUTION CONTROL, CAA SECTION 105</p> <p>CLEAN WATER/DRINKING WATER STATE REVOLVING FUND</p> <p>NON-POINT SOURCE MANAGEMENT GRANTS, CWA SECTION 319</p> <p>INDIAN ENVIRONMENTAL GENERAL ASSISTANCE PROGRAM</p> <p>WATER POLLUTION CONTROL PROGRAM, CWA, SECTION 106</p> <p>STATE INDOOR RADON GRANTS, TSCA SECTION 306</p> <p>NATIONAL ENVIRONMENTAL EDUCATION, 40 CFR 47</p> <p>RESEARCH AND DEMONSTRATION GRANTS, 40 CFR 40</p> <p>TRAINING ASSISTANCE, 40 CFR 45</p> <p>SUPERFUND - SUBPART O</p>

#### IV. FINANCIAL REVIEW

17. IS THE BUDGET MATHEMATICALLY CORRECT?	G	G	
<p>18. IS THERE A STATUTORY/REGULATORY/PROGRAMMATIC COST SHARE REQUIREMENT FOR THIS AWARD?</p> <p>MATCH: _____% OF (CIRCLE ONE) FEDERAL FUNDS AWARDED <b>OR</b> TOTAL PROJECT COST</p> <p>MATCH REQUIRED: \$_____ MATCH PROVIDED: \$_____</p>	G	G	IF THE MATCH PROVIDED BY THE APPLICANT IS LESS THAN THE REQUIRED AMOUNT, THE APPLICATION MUST BE REVISED TO PROVIDE FOR ADEQUATE COST SHARING.
19. IS THE APPLICANT'S MATCH IS PROVIDED BY ANOTHER FEDERAL AGENCY?	G	G	PROHIBITED EXCEPT FOR COMMUNITY DEVELOPMENT BLOCK GRANTS , GENERAL REVENUE SHARING FUNDS & BUREAU OF INDIAN AFFAIRS 638 FUNDS OR UNLESS THE OTHER FEDERAL AGENCY HAS SPECIFIC AUTHORIZING LEGISLATION WHICH PERMITS THEIR FUNDS TO BE USED AS MATCHING
<p>20. BUDGET NARRATIVE OR OBJECT CLASS WORKSHEETS ATTACHED? SUFFICIENT SUPPORTING DETAIL IS PROVIDED FOR EACH OF THE FOLLOWING OBJECT CLASS CATEGORIES:</p> <p>9 PERSONNEL</p> <p>9 FRINGE BENEFITS</p> <p>9 TRAVEL (E.G. LIST OF TRAVEL AND PURPOSE OF TRIPS)</p> <p>9 EQUIPMENT (E.G. LIST OF EQUIPMENT \$5,000 OR MORE)</p> <p>9 SUPPLIES</p> <p>9 CONTRACTUAL</p> <p>9 OTHER</p>	<p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p>	<p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p> <p>G</p>	<p>FOR ADDITIONAL GUIDANCE GO TO:</p> <p><a href="http://www.epa.gov/ogd/recipient/intro.htm">HTTP://WWW.EPA.GOV/OGD/RECIPIENT/INTRO.HTM</a></p>
21. HAS THE BUDGET NARRATIVE BEEN REVIEWED TO DETERMINE THAT ALL COSTS CONFORM TO THE APPLICABLE COST PRINCIPLES AND ARE ALLOWABLE, ALLOCABLE, NECESSARY AND REASONABLE FOR PROPER AND EFFICIENT ADMINISTRATION OF THE PROJECT/PROGRAM?	G	G	ATTACH GRANT SPECIALIST COST REVIEW WORKSHEET.

#### V. WORK PLAN REVIEW

	Yes	No	COMMENTS
22. ARE THE ACTIVITIES CONTAINED IN THE WORK PLAN ALLOWABLE UNDER THE AUTHORIZING STATUTE?	G	G	
23. DOES THE WORK PLAN COMPLY WITH THE ENVIRONMENTAL RESULTS ORDER?	G	G	THE ENVIRONMENTAL RESULTS ORDER [5700.7] REQUIRES WORK PLANS TO CONTAIN, TO THE MAXIMUM EXTENT PRACTICABLE, WELL-DEFINED OUTPUTS AND OUTCOMES AND TO SUPPORT THE AGENCY'S STRATEGIC GOALS, OBJECTIVES & SUB-OBJECTIVES.
24. <b>40 CFR 35 A &amp; B APPLICANTS ONLY.</b> DOES THE APPLICATION MEET THE REGULATORY CONTENT REQUIREMENTS OF 40 CFR 35.107 OR 35.507?	G	G	WORK PLAN MUST CONTAIN: COMPONENTS, ESTIMATED WORK YEARS AND THE ESTIMATED FUNDING AMOUNTS FOR EACH COMPONENT, WORK PLAN COMMITMENTS FOR EACH WORK PLAN COMPONENT AND A TIME FRAME FOR THEIR ACCOMPLISHMENT, JOINT PERFORMANCE EVALUATION PROCESS AND REPORTING SCHEDULE, ROLES AND RESPONSIBILITIES OF RECIPIENT AND EPA

<b>v. WORK PLAN REVIEW</b> (CONT)	<b>Yes</b>	<b>No</b>	<b>COMMENTS</b>
25. DOES THE APPLICATION INVOLVE ENVIRONMENTAL MEASUREMENT OR DATA COLLECTION?	G	G	IF YES, PROGRAM MUST ADDRESS QUALITY ASSURANCE ISSUES IN FUNDING RECOMMENDATION.
26. DOES THE APPLICATION INVOLVE ACTIVITIES WHICH WILL BE PERFORMED OUTSIDE OF THE UNITED STATES?	G	G	APPROVAL MUST BE OBTAINED FROM THE OFFICE OF INTERNATIONAL ACTIVITIES PRIOR TO AWARD.
27. WILL THERE BE PROGRAM INCOME GENERATED FROM THIS PROJECT?	G	G	IF YES, P.O. MUST ADDRESS PROGRAM INCOME USE IN THE FUNDING RECOMMENDATION.
28. DOES THE PROJECT INVOLVE HUMAN SUBJECT TESTING?	G	G	If yes, verify Program has obtained clearance from the EPA Human Subjects Approval Official when Funding Recommendation is reviewed.
29. DOES THE PROJECT INVOLVE ANIMAL SUBJECTS?	G	G	If yes, Program must address animal subjects in Funding Recommendation.
30. DO THE WORK PLAN ACTIVITIES INVOLVE CONDUCTING CONFERENCES OR WORKSHOPS?	G	G	IF YES, REVIEW THE BEST PRACTICES GUIDE FOR CONFERENCES FOR COMPLIANCE
31. IS THIS A COOPERATIVE AGREEMENT WHICH WILL INCLUDE THE SURVEY OR COLLECTION OF IDENTICAL INFORMATION FROM 10 OR MORE PERSONS, OR A GRANT WHICH WILL INCLUDE THE SURVEY OR COLLECTION OF IDENTICAL INFORMATION FROM 10 OR MORE PERSONS AND EPA WILL INFLUENCE, DESIGN OR DEVELOP THE ACTIVITIES OF THE SURVEY?	G	G	IF YES, PROGRAM MUST OBTAIN REQUIRED OMB CLEARANCE PRIOR TO THE APPLICANT INITIATING ANY WORK DEALING WITH THE SURVEY OR DATA COLLECTION. VERIFY DURING FR REVIEW IN SECTION VI OF THIS DOCUMENT.
<b>vi. FUNDING RECOMMENDATION REVIEW</b>			
32. IS THE EPA PROJECT OFFICER CERTIFICATION CURRENT?	G	G	
33. HAS THE FUNDING RECOMMENDATION BEEN SIGNED BY THE DELEGATED APPROVAL OFFICIAL?	G	G	SEE II, NO. 2 OF THIS CHECKLIST.
34. DO THE STATUTORY AND DELEGATION OF AUTHORITY AGREE WITH SECTION I, GENERAL AND SECTION II, NO. 2 OF THIS CHECKLIST?	G	G	
35. DOES THE PROJECT DESCRIPTION COMPLY WITH THE DATA QUALITY STANDARDS FOR PROJECT DESCRIPTIONS (GPI 04-05)?	G	G	IF NO, REVISE DESCRIPTION.
36. HAS THE PROJECT OFFICER DESCRIBED HOW THE ACTIVITIES TO BE FUNDED ARE CONSISTENT WITH THE STATUTORY AUTHORITY?	G	G	
37. HAS THE PO DESCRIBED HOW THE PROGRAM RESULTS CODE (PRC) AND THE PROJECT/PROGRAM ACTIVITIES ARE CONSISTENT?	G	G	SEE ENVIRONMENTAL RESULTS ORDER, 5700.7.
38. IS THE ASSISTANCE VS. ACQUISITION DECISION DOCUMENTED?	G	G	
39. HAS THE PO DOCUMENTED THE DECISION TO AWARD A COOPERATIVE AGREEMENT VERSUS A GRANT?	G	G	PO MUST IDENTIFY EPA'S RESPONSIBILITIES FOR THE PROJECT (E.G., TASKS AND ACTIVITIES) IN THE PROGRAMMATIC TERMS AND CONDITIONS SECTION.
40. HAS THE PO ADDRESSED QUALITY ASSURANCE/ CONTROL/MANAGEMENT PLAN ISSUES?	G	G	
41. DOES THE PROJECT INVOLVE HUMAN SUBJECT TESTING?	G	G	PROGRAM MUST OBTAIN CLEARANCE FROM THE EPA HUMAN SUBJECTS APPROVAL OFFICIAL.
42. DOES THE PROJECT INVOLVE ANIMAL SUBJECTS?	G	G	PROGRAM MUST INCLUDE ANIMAL SUBJECT CONDITION.
43. IF ACTIVITIES HAVE BEEN IDENTIFIED IN THE WORK PLAN WHICH WILL BE PERFORMED OUTSIDE OF THE UNITED STATES, HAS THE PO DOCUMENTED THAT APPROVAL HAS BEEN OBTAINED FROM THE OFFICE OF INTERNATIONAL ACTIVITIES?	G	G	AWARD MAY NOT BE MADE WITHOUT OIA APPROVAL.
44. HAS THE PO ADDRESSED THE MULTIPLE APPROPRIATIONS ORDER?	G	G	EPA ORDER 5730.2
45. IF INFORMATION COLLECTION REQUIREMENTS HAVE BEEN IDENTIFIED IN THE WORK PLAN REVIEW, HAS THE PO DOCUMENTED THAT OMB CLEARANCE HAS BEEN OBTAINED?	G	G	IF OMB CLEARANCE IS NOT OBTAINED PRIOR TO AWARD, ADD A TERM AND CONDITION OF AWARD TO ENSURE THAT THE APPLICANT DOES NOT INITIATE ANY INFORMATION COLLECTION OR SURVEY ACTIVITIES PRIOR TO RECEIPT OF OMB APPROVAL.
46. IF THE AWARD IN NON-COMPETITIVE, IS THE DECISION DOCUMENTED?	G	G	

G Animal Subjects	G Clean Water Section 106 Funding	G Copyrighted Material
G EO 13202 Preservation of Open Competition	G Indirect Costs	G Lobbying & Litigation
G Lobbying (Part 34)	G Patents & Inventions	G Recycling
G Research Misconduct	G Suspension & Debarment	

## **APPROVAL SECTION**

This Application for Assistance has been reviewed for administrative compliance with statutory, regulatory, policy and delegated authorities. Signature below indicates, in the reviewers opinion, the application complies with the administrative requirements for award of assistance.

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Grant Specialist

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Date

### *OPTIONAL*

## **INTERNAL CONTROL REVIEW**

A Quality Control Review was made of this application to ensure it complies with the statutory, regulatory, delegated and policy requirements for award. Signature below indicates the reviewer supports the funding decision.

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Reviewer

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Date

Date Last Revised: December 05, 2005  
National GMO Checklist 12 05.wpd